

INFORMATION DISCLOSURE STATEMENT BY APPLICANT (Not for submission under 37 CFR 1.99)	Application Number		09802161
	Filing Date		2001-03-08
	First Named Inventor	Christopher Keith	
	Art Unit	3628	
	Examiner Name	Clement B. Graham	
Attorney Docket Number		IVEN125467	

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	1	3702007	A	1972-10-31	Davis II	
	2	4346442	A	1982-08-24	Musmanno	
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	4	4456957	A	1984-06-26	Schlietz	
	5	4823265	A	1989-04-18	Nelson	
	6	5077665	A	1991-12-31	Silverman	
	7	5148365	A	1992-09-15	Dembo	
	8	5253165	A	1993-10-12	Leiseca	

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9	5297031	A	1994-03-22	Guterman	
10	5297032	A	1994-03-22	Trojan	
11	5453601	A	1995-09-26	Rosen	
12	5615269	A	1997-03-25	Micali	
13	5689652	A	1997-11-18	Lupien	
14	5845266	A	1998-12-01	Lupien	
15	5847845	A	1998-12-08	Takahashi	
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18	5953707	A	1999-09-14	Huang	
19	5983200	A	1999-11-09	Slotznick	

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20	6014643	A	2000-01-11	Minton	
21	6029146	A	2000-02-22	Hawkins	
22	6035289	A	2000-03-07	Chou	
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24	6101484	A	2000-08-08	Halbert	
25	6131087	A	2000-10-10	Luke	
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30	6317727	B1	2001-11-13	May	

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31	6317728	B1	2001-11-13	Kane	
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33	6343278	B1	2002-01-29	Jain	
34	6408282	B1	2002-06-18	Buist	
35	6418419	B1	2002-07-09	Nieboer	
36	6493682	B1	2002-12-10	Horrigan	
37	6505174	B1	2003-01-07	Keiser	
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40	6625583	B1	2003-09-23	Silverman	
41	6629082	B1	2004-09-30	Hambrecht	

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42	6792399	B1	2004-09-14	Phillips	
43	7058601	B1	2006-06-06	Paiz	

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	1	Board of Trade of the City of Chicago, Commodity Trading Manual, 1998, pp. 178-179, 387.	<input type="checkbox"/>

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2	Hull, J.C., Introduction to Futures & Options Markets, 2d ed., Prentice Hall, Englewood Cliffs, N.J., 1995, pp. 4-6, 11, 26, 33-34.	<input type="checkbox"/>
3	Livingston, M., Bonds and Bond Derivatives, Blackwell Publishers Inc., Malden, Mass., 1999, pp. 38-41.	<input type="checkbox"/>
4	"More Companies Buying Back Stock," The Salt Lake Tribune, April 9, 2000, < http://proquest.umi.com/pqdweb?index=6&did=52501230&SrchMode=1&sid=21&Fmt=3... >[retrieved November 3, 2005].	<input type="checkbox"/>
5	The Options Institute, "Options: Essential Concepts & Trading Concepts," 3d ed., McGraw-Hill, New York, 1999, p. 420.	<input type="checkbox"/>
6	"Streamer Free Real-Time Stock Quote Service Registers 12,000 Users," PR Newswire, November 3, 1999, < http://www.findarticles.com/m4PRN/1999_Nov_3/57153236/p1/article.jhtml > [retrieved April 5, 2004]	<input type="checkbox"/>

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Examiner Signature	/Clement Graham/	Date Considered	04/21/2009
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Please see 37 CFR 1.97 and 1.98 to make the appropriate selection(s):

☐ That each item of information contained in the information disclosure statement was first cited in any communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of the information disclosure statement. See 37 CFR 1.97(e)(1).

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- ☐ See attached certification statement.
- ☒ Fee set forth in 37 CFR 1.17 (p) has been submitted herewith.
- ☐ None

SIGNATURE

A signature of the applicant or representative is required in accordance with CFR 1.33, 10.16. Please see CFR 1.4(d) for the form of the signature.

Signature	/Kevan L. Morgan/	Date (YYYY-MM-DD)	2007-01-04
Name/Print	Kevan L. Morgan	Registration Number	42015

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